

ACCELUS COMPLIANCE MANAGER

CONNECTING THE COMPLIANCE PROCESS

A CONNECTED APPROACH TO COMPLIANCE MANAGEMENT

THOMSON REUTERS ACCELUS™

Thomson Reuters Governance, Risk and Compliance (GRC) business unit provides comprehensive solutions that connect our customers' business to the ever-changing regulatory environment. GRC serves audit, compliance, finance, legal, and risk professionals in financial services, law firms, insurance, and other industries impacted by regulatory change.

The Accelus suite of products provides powerful tools and information that enable proactive insights, dynamic connections, and informed choices that drive overall business performance. Accelus is the combination of the market-leading solutions provided by the heritage businesses of Complinet, IntegraScreen™, Northland Solutions, Oden®, Paisley®, West's Capitol Watch®, Westlaw® Business, Westlaw Compliance Advisor® and World-Check®.

Increases in regulation over the past several years have significantly impacted the performance of compliance professionals, the companies they work for, and the broader economy as a whole. Compliance teams face extraordinary market conditions, constantly shifting regulation with multi-jurisdictional requirements, and increased pressure to deliver uncompromising compliance with reduced budgets and significant resource constraints. Successful compliance management in financial services firms requires a holistic, connected methodology designed to protect and enhance business value by fostering a regulatory risk-aware culture, support for informed decision making, and the ability to address the required multiple steps in the compliance business process.

Accelus Compliance Manager is a connected solution that provides purpose-built functionality that enables users to join up the ever, changing regulatory information and connect it to their internal compliance business process workflow. As a comprehensive solution, the system is designed to serve as a regulatory intelligence portal, enable users to track and communicate regulatory change to organizational risks, document associated policies and controls, and provide a business process manager with connecting workflow. Through a shared taxonomy focused on regulations and risks, the solution enables a common language of compliance, shared methodology, and increased visibility, transparency, and insight.

UNDERSTAND, EVALUATE, AND MAP REGULATORY RISK

Accelus Compliance Manager serves as a single source for regulatory news, analysis, rules, and developments. With our global coverage of more than 230 regulators and exchanges, you can track hundreds of regulatory events that affect your business. The comprehensive and diverse coverage of our regulatory intelligence provides the up-to-date information you need in order to make informed business decisions and put the necessary controls in place.

The solution supports the mapping of laws and regulations (by regulatory themes) and policies and procedures to the business structure (region, country, business unit, desk level or even granular if required), risks, processes, and control activities. The solution also empowers compliance professionals to identify and map where in the organizational structure the laws and regulations apply, and enables the transparency and visibility into the coverage that has been achieved by existing sets of policies and procedures and other mitigating controls.

IDENTIFY, MONITOR, AND TRACK REGULATORY CHANGE

Accelus Compliance Manager provides a single, trusted source for regulatory news, analysis, rules and developments. Our custom taxonomy lets you track of-interest regulatory changes as they happen and links regulatory developments back to the underlying rulebooks.

With regulatory changes mapped directly to regulations that impact the firm, the system can automatically provide alerts through the platform and via email when a regulation changes. This frees the firm from the burden of manually maintaining this information and provides management with the peace of mind that comes from knowing that nothing of importance has been missed.

This also helps the firm quickly understand how regulatory changes may affect the business, inform the board when the risk level changes significantly, and quickly implement necessary control and mitigation steps.

See reverse side



EVIDENCE RISK AND CONTROLS TO MANAGEMENT AND REGULATORS

As a centralized system for documentation and workflow, Accelus Compliance Manager has been designed as the hub of your compliance processes. The solution helps to ensure that the process of audit report review, compliance and regulatory examinations, complaints, new legal and regulatory requirements, and determine that a firm's supervisory procedures are sufficient or can be greatly improved. The solution can also be leveraged to access compliance-related information managed through the standard compliance business process and utilizes the systems capabilities for document management and linking to assemble information from other systems or sources in order to fulfill the requests and expectations of the inquiry.

CORE FEATURES OF ACCELUS COMPLIANCE MANAGER INCLUDE:

- Precise relationships between regulations and internal business structures, policies, and risks
- Regulatory information and updates from the most trusted source in financial services – Thomson Reuters
- Regulatory updates that are dynamically linked to the relative risk, policies, and controls and communicated to the respective business owners
- Centralized policy management, record keeping, and training
- Management and sharing of regulatory information, risks, policies, controls, tests, and management remediation data stored in a central library
- Centralized issue management and remediation plan documentation for compliance-related processes
- Robust, configurable reporting delivered through alerts, status reports, dashboards, and heat maps
- Workflow that enables successful preparation for regulatory exams
- Data capture, workflow and reporting that supports compliance activities including investigations, supervisory controls, filing tracking, regulatory certifications, and suspicious activity reporting

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